



#3  
SECTOR  
\$  
PATENT - Attorney Docket No. 112634.120

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

Applicant: Peter Malcolm

Serial No.: 09/923,704

Examiner:

Filed: August 7, 2001

Group Art Unit:

For: An Information Management System

Box Missing Parts  
Commissioner for Patents  
Washington, D.C. 20231

**CERTIFICATE OF MAILING UNDER 37 C.F.R. 1.8(a)**

I hereby certify that this correspondence and any enclosures referenced herein are being deposited with the United States Postal Service as First Class Mail in an envelope addressed to: Box Missing Parts, Commissioner for Patents, Washington D.C. 20231.

NOV 07 2001  
Date

  
Michael Leccese

**RESPONSE TO NOTICE TO FILE MISSING PARTS OF APPLICATION  
(FILING DATE GRANTED)**

**RESPONSE TO NOTICE OF MISSING PARTS OF APPLICATION**

In response to the Notice to File Missing Parts of Application (Filing Date Granted) mailed September 28, 2001 enclosed for filing in the above-identified patent application are the following documents:


1. Executed Declaration and Power of Attorney;
2. Fee Transmittal Form;
3. Transmittal Form;
4. Copy of Notice to file Missing Parts of Nonprovisional Application;
5. Notice to correct Priority Document Number and Change Attorney Number.
6. Specification
7. Self-addressed, postage prepaid postcard. Please date stamp the postcard indicating timely receipt by the Patent Office of the subject documents, and return it to us for our files.

The Commissioner is hereby authorized to charge **\$65** to Deposit Account No. 08-0219 for the appropriate surcharge for late filing of the fee and oath for a small entity.

Please charge any fee deficiency or credit any overpayment in connection with this matter to Deposit Account No. 08-0219.

Respectfully submitted,

Dated: November 7, 2001

  
\_\_\_\_\_  
Gary A. Walpert  
Registration No. 26,098  
Attorney for Applicant

Hale and Dorr LLP  
60 State Street  
Boston, Massachusetts 02109  
(617) 526-6000 (Telephone)  
(617) 526-5000 (Facsimile)

#4

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE



In re Application of: Peter Malcolm

Appl. No.: 09/923,704

Filed: August 7, 2001

For: **AN INFORMATION  
MANAGEMENT SYSTEM**

Art Unit: Not Yet Assigned

Examiner: Not Yet Assigned

---

CERTIFICATE OF MAILING UNDER 37 CFR 1.8(a)

I hereby certify that this correspondence is being deposited with the United States Postal Service First Class Mail in an envelope addressed to Commissioner for Patents, Washington, D.C. 20231, Box Assignments.

NOV 27 2001  
Date

  
Name

---

**NOTICE TO CORRECT PRIORITY DOCUMENT NUMBER AND CHANGE  
ATTORNEY DOCKET NUMBER**

Commissioner for Patents  
Washington, D.C. 20231

Sir:


In reviewing the originally filed declaration, it had been noted that the Priority Document application number was incorrectly stated on the unsigned declaration. It has been corrected in the new declaration and should be UK Application No. 0027280.7. Please correct the Patent Office records accordingly.

Please also change the Attorney's docket number in this case to 112634.120.

If there are any payments due or credits owed, please make them to our Deposit Account  
No. 08-0219.

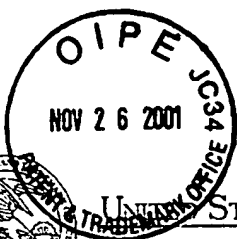
Respectfully submitted,

Date: 11/7/01

  
\_\_\_\_\_  
Gary A. Walpert  
Reg. No. 26,098

Hale and Dorr LLP  
60 State Street  
Boston, MA  
Tel. (617) 526-6000  
Fax (617) 526-5000

#3



UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS  
UNITED STATES PATENT AND TRADEMARK OFFICE  
WASHINGTON, D.C. 20231  
www.uspto.gov

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
09/923,704	08/07/2001	Peter Malcolm	00968-016

CONFIRMATION NO. 2337

FORMALITIES LETTER



\*OC000000006806340\*

28089  
HALE AND DORR LLP  
300 PARK AVENUE  
NEW YORK, NY 10022

Date Mailed: 09/28/2001

## NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

FILED UNDER 37 CFR 1.53(b)

*Filing Date Granted*

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

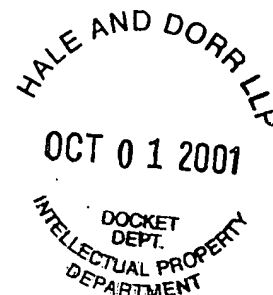
- The oath or declaration is unsigned.
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(l) of \$65 for a small entity in compliance with 37 CFR 1.27, must be submitted with the missing items identified in this letter.
- The balance due by applicant is \$ 65.

*A copy of this notice MUST be returned with the reply.*

*Bern T. Bisti*

Customer Service Center  
Initial Patent Examination Division (703) 308-1202

PART 1 - ATTORNEY/APPLICANT COPY



11/28/2001 BABRAHA1 00000085 080219 09923704  
01 FC:205 65.00 CH

HALE & DORR DOCKETING  
RE: 112634.120 US  
Action Date: 11/28/01 - MISSING PARTS  
Action to be Taken: Due Date  
Docketed by: GSR On: 11/2/02



Please type a plus sign (+) inside this box → ☐

PTO/SB/21 (6-98)  
Approved for use through 09/30/2000. OMB 0651-0031  
Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

<b>TRANSMITTAL FORM</b> <i>(to be used for all correspondence after initial filing)</i>	<b>Application Number</b>	09/923,704
	<b>Filing Date</b>	August 7, 2001
	<b>First Named Inventor</b>	Perter Malcolm
	<b>Group Art Unit</b>	
	<b>Examiner Name</b>	
<b>Total Number of Pages in This Submission</b>		<b>Attorney Docket Number</b> 112634-120

ENCLOSURES (check all that apply)		
<input checked="" type="checkbox"/> Fee Transmittal Form	<input type="checkbox"/> Assignment Papers (for an Application)	<input type="checkbox"/> After Allowance Communication to Group
<input type="checkbox"/> Fee Attached	<input type="checkbox"/> Drawing(s)	<input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences
<input type="checkbox"/> Amendment / Response	<input type="checkbox"/> Licensing-related Papers	<input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief)
<input type="checkbox"/> After Final	<input type="checkbox"/> Petition Routing Slip (PTO/SB/69) and Accompanying Petition	<input type="checkbox"/> Proprietary Information
<input type="checkbox"/> Affidavits/declaration(s)	<input type="checkbox"/> Petition to Convert to a Provisional Application	<input type="checkbox"/> Status Letter
<input type="checkbox"/> Extension of Time Request	<input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address	<input type="checkbox"/> Additional Enclosure(s) (please identify below)
<input type="checkbox"/> Express Abandonment Request	<input type="checkbox"/> Terminal Disclaimer	<input checked="" type="checkbox"/> <b>Postcard</b>
<input type="checkbox"/> Information Disclosure Statement	<input type="checkbox"/> Small Entity Statement	
<input type="checkbox"/> Certified Copy of Priority Document(s)	<input type="checkbox"/> Request for Refund	
<input checked="" type="checkbox"/> Response to Missing Parts/ Incomplete Application	<b>Remarks</b>	
<input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53		

SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT	
Firm or Individual name	Gary A. Walpert (Reg. no. 26,098)
Signature	
Date	November 7, 2001

CERTIFICATE OF MAILING		
I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231 on this date: <input type="text"/>		
Typed or printed name Michael Leccese		
Signature		Date November , 2001

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.



Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

# FREE TRANSMITTAL for FY 2001

Patent fees are subject to annual revision.

TOTAL AMOUNT OF PAYMENT

(\$ 65.00)

## Complete if Known

Application Number 09/923,704

Filing Date August 7, 2001

First Named Inventor Peter Malcolm

Examiner Name

Group Art Unit

Attorney Docket No. 112634-120

## METHOD OF PAYMENT

1. ☒ The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:

Deposit  
Account  
Number

08-0219

Deposit  
Account  
Name

Hale and Dorr LLP

- ☒ Charge Any Additional Fee Required  
Under 37 CFR 1.16 and 1.17

- ☒ Applicant claims small entity status.  
See 37 CFR 1.27

2. ☐ Payment Enclosed:

☐ Check ☐ Credit card ☐ Money  
Order ☐ Other

## FEE CALCULATION

## 1. BASIC FILING FEE

Large Entity Small Entity

Fee Fee Fee Fee Fee Description

Code	(\$)	Code	(\$)	Fee Description
101	710	201	355	Utility filing fee
106	320	206	160	Design filing fee
107	490	207	245	Plant filing fee
108	710	208	355	Reissue filing fee
114	150	214	75	Provisional filing fee

Fee Paid

SUBTOTAL (1) (\$)

## 2. EXTRA CLAIM FEES

Extra Claims

Fee from  
below

Fee Paid

Total Claims  - 20\*\* =  X  =   
Independent Claims  - 3\*\* =  X  =   
Multiple Dependent  =

Large Entity Small Entity

Fee Fee Fee Fee Fee Description

Code	(\$)	Code	(\$)	Fee Description
103	18	203	9	Claims in excess of 20
102	80	202	40	Independent claims in excess of 3
104	270	204	135	Multiple dependent claim, if not paid
109	80	209	40	** Reissue independent claims over original patent
110	18	210	9	** Reissue claims in excess of 20 and over original patent

SUBTOTAL (2) (\$)

\*\*or number previously paid, if greater; For Reissues, see above

## FEE CALCULATION (continued)

## 3. ADDITIONAL FEES

Large Entity	Small Entity	Fee Description	Fee Paid
Fee Code	Fee Code		
105	130 205 65	Surcharge - late filing fee or oath	\$65.00
127	50 227 25	Surcharge - late provisional filing fee or cover sheet	
139	130 139 130	Non-English specification	
147	2,520 147 2,520	For filing a request for <i>ex parte</i> reexamination	
112	920* 112 920*	Requesting publication of SIR prior to Examiner action	
113	1,840* 113 1,840*	Requesting publication of SIR after Examiner action	
115	110 215 55	Extension for reply within first month	
116	390 216 195	Extension for reply within second month	
117	890 217 445	Extension for reply within third month	
118	1,390 218 695	Extension for reply within fourth month	
128	1,890 228 945	Extension for reply within fifth month	
119	310 219 155	Notice of Appeal	
120	310 220 155	Filing a brief in support of an appeal	
121	270 221 135	Request for oral hearing	
138	1,510 138 1,510	Petition to institute a public use proceeding	
140	110 240 55	Petition to revive - unavoidable	
141	1,240 241 620	Petition to revive - unintentional	
142	1,240 242 620	Utility issue fee (or reissue)	
143	440 243 220	Design issue fee	
144	600 244 300	Plant issue fee	
122	130 122 130	Petitions to the Commissioner	
123	50 123 50	Processing fee under 37 CFR 1.17(q)	
126	180 126 180	Submission of Information Disclosure Stmt	
581	40 581 40	Recording each patent assignment per property (times number of properties)	
146	710 246 355	Filing a submission after final rejection (37 CFR § 1.129(a))	
149	710 249 355	For each additional invention to be examined (37 CFR § 1.129(b))	
179	710 279 355	Request for Continued Examination (RCE)	
169	900 169 900	Request for expedited examination of a design application	

Other fee (specify) \_\_\_\_\_

\*Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$ 65.00)

## SUBMITTED BY

Name (Print/Type)

Gary A. Walpert

Registration No.  
(Attorney/Agent)

26,098

## Complete (if applicable)

Telephone

617-526-6000

Signature

Date

**WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.**

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.